

§ 600.1

- 600.171 Closeout procedures.
- 600.172 Subsequent adjustments and continuing responsibilities.
- 600.173 Collection of amounts due.

ADDITIONAL PROVISIONS

- 600.180 Purpose.
- 600.181 Special provisions for Small Business Innovation Research Grants.

APPENDIX A TO SUBPART B TO PART 600—CONTRACT PROVISIONS

Subpart C—Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments

GENERAL

- 600.200 Purpose and scope of this subpart.
- 600.201 Scope of §§ 600.200 through 600.205.
- 600.202 Definitions.
- 600.203 Applicability.
- 600.204 Effect on other issuances.
- 600.205 Additions and exceptions.

PRE-AWARD REQUIREMENTS

- 600.210 Forms for applying for grants.
- 600.211 State plans.
- 600.212 Special grant or subgrant conditions for “high-risk” recipients.

POST-AWARD REQUIREMENTS

Financial Administration

- 600.220 Standards for financial management systems.
- 600.221 Payment.
- 600.222 Allowable costs.
- 600.223 Period of availability of funds.
- 600.224 Matching or cost sharing.
- 600.225 Program income.
- 600.226 Non-Federal audit.

Changes, Property, and Subawards

- 600.230 Changes.
- 600.231 Real property.
- 600.232 Equipment.
- 600.233 Supplies.
- 600.234 Copyrights.
- 600.235 Subawards to debarred and suspended parties.
- 600.236 Procurement.
- 600.237 Subgrants.

Reports, Records Retention, and Enforcement

- 600.240 Monitoring and reporting program performance.
- 600.241 Financial reporting.
- 600.242 Retention and access requirements for records.
- 600.243 Enforcement.
- 600.244 Termination for convenience.

After-the-Grant Requirements

- 600.250 Closeout.

10 CFR Ch. II (1–1–98 Edition)

- 600.251 Later disallowances and adjustments.
- 600.252 Collection of amounts due.

Entitlements [Reserved]

Subpart D [Reserved]

Subpart E—Audits of State and Local Governments

- 600.400 Scope and applicability.
- 600.401 Definitions.
- 600.402 Policy.
- 600.403 Scope of audit.
- 600.404 Frequency of audit.
- 600.405 Internal control and compliance reviews.
- 600.406 Subrecipients.
- 600.407 Relation to other audit requirements.
- 600.408 Cognizant agency responsibilities.
- 600.409 Illegal acts or irregularities.
- 600.410 Audit reports.
- 600.411 Audit resolution.
- 600.412 Audit workpapers and reports.
- 600.413 Audit costs.
- 600.414 Sanctions.
- 600.415 Auditor selection.
- 600.416 Small and minority audit firms.
- 600.417 Reporting.

Subpart F—Eligibility Determination for Certain Financial Assistance Programs—General Statement of Policy

- 600.500 Purpose and scope.
- 600.501 Definitions.
- 600.502 What must DOE determine.
- 600.503 Determining the economic interest of the United States.
- 600.504 Information an applicant must submit.
- 600.505 Other information DOE may consider.

APPENDIX A TO PART 600—GENERALLY APPLICABLE REQUIREMENTS

APPENDIX B TO PART 600—AUDIT REPORT DISTRIBUTEES

AUTHORITY: 42 U.S.C. 7254, 7256, 13525; 31 U.S.C. 6301–6308, unless otherwise noted.

Subpart A—General

SOURCE: 61 FR 7166, Feb. 26, 1996, unless otherwise noted.

§ 600.1 Purpose.

This part implements the Federal Grant and Cooperative Agreement Act, Pub. L. 95–224, as amended by Pub. L. 97–258 (31 U.S.C. 6301–6308), and establishes uniform policies and procedures for the award and administration of

Department of Energy

§ 600.3

DOE grants and cooperative agreements. This subpart (Subpart A) sets forth the policies and procedures applicable to the award and administration of grants and cooperative agreements.

§ 600.2 Applicability.

(a) Except as otherwise provided by Federal statute or program rule, this part applies to applications, solicitations, and new, continuation, and renewal awards (and any subsequent subawards).

(b) Any new, continuation, or renewal award (and any subsequent subaward) shall comply with any applicable Federal statute, Federal rule, Office of Management and Budget (OMB) Circular and Governmentwide guidance in effect as of the date of such award.

(c) Financial assistance to foreign entities is governed, to the extent appropriate, by this part and by the administrative requirements and cost principles applicable to their respective recipient type, e.g. governmental, non-profit, commercial.

§ 600.3 Definitions.

Amendment means the written document executed by a DOE contracting officer that changes one or more terms or conditions of an existing financial assistance award.

Award means the written document executed by a DOE Contracting Officer, after an application is approved, which contains the terms and conditions for providing financial assistance to the recipient.

Budget period means the interval of time, specified in the award, into which a project is divided for budgeting and funding purposes.

Continuation award means an award for a succeeding or subsequent budget period after the initial budget period of either an approved project period or renewal thereof.

Contract means a written procurement contract executed by a recipient or subrecipient for the acquisition of property or services under a financial assistance award.

Contracting Officer means the DOE official authorized to execute awards on behalf of DOE and who is responsible for the business management and non-

program aspects of the financial assistance process.

DOE Patent Counsel means the Department of Energy Patent Counsel assisting the Contracting Officer in the review and coordination of patents and data related items.

Financial assistance means the transfer of money or property to a recipient or subrecipient to accomplish a public purpose of support or stimulation authorized by Federal statute. For purposes of this part, financial assistance instruments are grants and cooperative agreements and subawards.

Head of Contracting Activity or HCA means a DOE official with senior management authority for the award and administration of financial assistance instruments within one or more DOE organizational elements.

Nonprofit organization means any corporation, trust, foundation, or institution which is entitled to exemption under section 501(c)(3) of the Internal Revenue Code, or which is not organized for profit and no part of the net earnings of which inure to the benefit of any private shareholder or individual (except that the definition of "non-profit organization" at 48 CFR 27.301 shall apply to the use of the patent clause at Section 600.27).

Objective merit review means a thorough, consistent and independent examination of applications based on pre-established criteria by persons knowledgeable in the field of endeavor for which support is requested.

Program rule means a rule issued by a DOE program office for the award and administration of financial assistance which may describe the program's purpose or objectives, eligibility requirements for applicants, types of program activities or areas to be supported, evaluation and selection process, cost sharing requirements, etc. These rules usually supplement the generic policies and procedures for financial assistance contained in this part.

Project means the set of activities described in an application, State plan, or other document that is approved by DOE for financial assistance (whether such financial assistance represents all or only a portion of the support necessary to carry out those activities.)